



QUALITY ASSURANCE A U D I T

Catalina Mountain School

**Conducted the week of
10/15/07 – 10/19/07**

**Prepared by
The Arizona Department of Youth Corrections
Quality Assurance Unit**

OVERVIEW

The Arizona Department of Youth Corrections Quality Assurance Unit conducted a Formal Audit of Catalina Mountain School during the week of 10/15/07 through 10/19/07.

Arizona Department of Youth Corrections policies and procedures and best practices were used as standards. The audit is organized into two parts.

Part I-Housing Unit Audits

Each Housing Unit was audited for, log book documentation, appropriate shift change documentation, headcount, documented welfare checks, sharps accountability, timely bathroom access, and exclusion.

Part II-Facility and Program Area Audits

In addition to the audit of each housing unit, the facility was audited for Separation Review, Medical Services, Youth Grievances, Behavioral Health, Physical Plant Inspection, Youth Phone and Mail, Special Education, Suicide Prevention, Continuous Case Plan, CAPFA Reviews, and Multi-Disciplinary Team Meetings (MDT).

A Summary of Non-Compliance precedes the body of the audit. The purpose of the summary is to provide the reader an outline of observations that will require corrective action. Specific details such as dates, times and shifts are omitted from the summary but can be found in the body of the audit.

The Quality Assurance unit would like to acknowledge the contributions of the Subject Matter Experts (SMEs) who contributed to this audit. Without the participation of the SMEs, it would not have been possible to assess several key areas in this audit.

Criminogenic and Protective Factors Assessment (CAPFA)

Continuous Case Plan (CCP)

Kimberly Gunter-Heier

Terry Villars

Education

Shari Hippeard

Dr. Gail Jacobs

Mental Health

Dr. Julie Bundy

Summary of Non-Compliance

The audit revealed several areas of **Substantial Compliance** with ADJC policies and procedures as well as some areas that will require attention. This Summary outlines observations of Non-Compliance. Details such as dates, times and units can be found in the main body of this report.

Current Daily Log Book

Procedure 4002.02

All Housing Units showed **Substantial Compliance** in this category.

Shift Changes

Procedure 4064.01

All Housing Units showed **Substantial Compliance** in this category.

Head Count

(Documentation in Unit Logbook)

Procedure 4002.02

Unit Chiricahua

- 5 of 12 shifts **did not** record hourly headcounts (except during shift change).

Unit Manzanita

- 4 of 12 shifts **did not** record hourly headcounts (except during shift change).

Unit Recovery

- 8 of 12 shifts **did not** record hourly headcounts (except during shift change).

Unit Saguaro

- 6 of 12 shifts **did not** record hourly headcounts (except during shift change).

Hourly Headcount Sheets

Procedure 4050.02

Unit Chiricahua

- 5 of 8 documented youth movements **did not** match (Logbook vs. Headcount Sheet).

Unit Mesquite

- 5 of 8 documented youth movements **did not** match (Logbook vs. Headcount Sheet).

Unit Recovery

- 3 of 8 documented youth movements **did not** match (Logbook vs. Headcount Sheet).

Unit Saguaro

- 5 of 8 documented youth movements **did not** match (Logbook vs. Headcount Sheet).

Welfare Checks

Procedure 4002.09

All Housing Units showed **Substantial Compliance** in this category.

Transitions

Procedure 4064.01

Unit Chiricahua

Unit Chiricahua followed policy related to transitions (except during unit clean-up) when they transitioned youth in and out of their rooms. Youth were transitioned in and out of their rooms within 15 minutes. However, a practice of leaving youth in their rooms during unit clean-up was observed. One or two youth were removed from their rooms at a time to clean. Other youth were left in their rooms during this practice. Inspectors found four examples of youth left in their rooms for clean-up. The times youth were in their rooms ranged from 52 minutes to 75 minutes. This practice **is not** within policy.

Sharps Accountability at Shift Change

Procedure 4002.02

Catalina Mountain School showed **Substantial Compliance** in the area of sharps accountability at shift change with the exception of:

Unit- Separation

- 3 of 12 shifts **did not** account for sharps at shift change (all on 3rd shift).

Communication in Logbook

Procedure 4002.02

Unit- Recovery

- 4 of 12 shifts **did not** document communication between shifts in the unit logbook.

Unit- Saguaro

- 3 of 12 shifts **did not** document communication between shifts in the unit logbook.

Unit- Separation

- 11 of 12 shifts **did not** document communication between shifts in the unit logbook.

Exclusion

Procedure 4064.01

Unit Chiricahua

- 2 of 4 exclusions **were not** reviewed and signed by a supervisor.

Unit Manzanita

- The unit exclusion log **did not** have an updated “Prohibited from Exclusion Sheet” in the Exclusion Binder.
- 11 of 16 exclusions **were not** reviewed and signed by a supervisor.

Unit Mesquite

- The unit exclusion log **did not** have an updated “Prohibited from Exclusion Sheet”.
- 6 of 7 exclusions **were not** reviewed and signed by a supervisor.

Unit Saguaro

- 2 of 3 exclusions **were not** reviewed and signed by a supervisor.

Unit Inspection Binder

Procedure 4002.01

Inspection binders were reviewed from 10/11/07 through 10/14/07.

Unit Chiricahua

- Inspection forms **were not** completed correctly. Several fields on the form **were not** completed.
- Work orders **were not** in the inspection binder or attached to the daily forms.

Unit Mesquite

- Weekly inspection form **was not** present in the inspection binder.
- Work orders **were not** in the inspection binder or attached to the daily forms.

Unit Recovery

- Forms **were not** completed correctly. Several fields on the form **were not** completed.
- Work orders **were not** attached to daily forms.

Unit Saguaro

- (10/13/07 -3rd shift) was missing completely.
- Weekly inspection form **was not** present in the inspection binder.
- Work orders **were not** attached to daily forms.

Unit Separation

- 3rd shifts **did not** complete the top portion of the inspection forms.
- Weekly inspection form **was not** present in the inspection binder.

- Work orders **were not** attached to daily inspection forms.

Physical Plant - Living Units

Chiricahua

- Lint built up behind the dryer.
- Graffiti on the bed frames, walls and door frame in youth rooms.
- Holes present in the ceiling of two youth rooms.
- Key/Sharps cabinet in the control room were unsecured at the time of the inspection.

Recovery

- Lint build-up behind the dryer.
- Graffiti on the walls, doors, beds, and or desks in all but three youth rooms.

Saguaro

- Graffiti present on the windows of some youth rooms.
- The paint (from maintenance) used to paint the rooms had a label stating that protective equipment including goggles, gloves, apron and a vapor respirator are to be used during application. No such precautions were taken and no MSDS was on the unit with this product.
- MSDS **was not** on-site for the paint being stored in the control room of the unit.
- Bolts were observed protruding into the youth rooms from the exterior windows approximately ¼ of an inch presenting a potential anchor point.
- Key/Sharps cabinet in the control room were unsecured at the time of the inspection.

Manzanita

- Graffiti was observed throughout the unit including most youth rooms.
- Key/Sharps cabinet in the control room were unsecured.
- The bolts from the exterior windows extended into the rooms presenting anchor points in two youth rooms.
- A youth room had a gap in the wall where prior caulk was pulling away from the wall.

Mesquite

- An outlet cover in the youth lounge was loose.

Separation

- The daily checklist was being signed but not completed by the third shift staff.
- Key/Sharps cabinets in the control room were unsecured.
- The lock to the separation rooms pod was malfunctioning during our visit.

Third Shift Timely Bathroom Access

Procedure 4002.07

Security review

- Log book review of Unit Chiricahua, Recovery, and Saguaro show that Security staff **did not** consistently document the reason they were present on the Unit.

- 11 of 22 restroom requests **were not** documented appropriately with the Daily Communication Log Book.

Headcount Accuracy

Procedure 4002.02

Unit Chiricahua

- Unit logbook documentation only contained a note stating visitation had ended, all youth returned from visitation. (Names of youth and number of youth at visitation **were not** included.)
- 0 out of 6 youth movements were documented on the Headcount Sheet.

Unit Recovery

- The unit logbook **did not** reflect movement to the Health Unit.

Unit Saguaro

- The unit Log Book **did not** reflect movement to the unit. The Head Count Sheet **did not** reflect movement.

Separation Review

Procedure 4061.01

Education Services of youth in Separation

- 4 of 12 youth requiring educational services for the month of September **did not** receive the required services.

Education

- 2 of 3 classes followed the agency behavior management system.
 - Youth were observed wandering around the classroom not engaged, in the process.
 - Youth were not redirected.
- Education curriculum **was not** followed in Room #5 (English).
 - Youth were reading the newspaper and working on crossword puzzles or word searches.
- Classroom door **was not** secured in Room #8 while class was in session (Music).
- Teachers **are not** using the Average Daily Membership (ADM) form per Procedure 4410.06A.

Suicide Prevention

Procedure 4250.02 and 4250.02A Emergency Response Packs

All Housing Units showed **Substantial Compliance** in this category.

Use of Force

Procedure 4058

Catalina Mountain School showed **Substantial Compliance** with documentation of Use of Force with the exception of:

Security Log Book

- 0 of 3 Use of Force Incidents reviewed were logged in the Security Log Book.

Pat Searches

Procedure 4052.01

Pat Search inspections consisted of observations of 28 key steps identified in Policy that are to be conducted during Pat Searches. Audit observations revealed the structure of the searches (staff working together to maintain control of the youth), searching inside the youth's mouth, and inspecting shoes randomly require improvement.

Multi-Disciplinary Teams (MDTs)

Procedure 4200.07

Catalina Mountain School showed **Substantial Compliance** in the area of attendance during MDTs with the following exceptions:

- 4 of 4 MDTs (with youth on medications) **did not** have a medical representative present.

MDT Log Book Review

- 4 of 5 units **did not** use the correct Form (4200.07A). (Inspector provided correct forms to each unit)
- 3 of 5 units **did not** use the correct MDT Monthly Staffing Form (4200.07B). (Inspector provided correct forms to each unit)

Education

- Education **did not** use the correct Form (4200.07C2). (Inspector provided correct form)

Behavioral Health Comprehensive Review

- 8 of 10 youth **were not** administered the MAYSI within 1 hour of arrival. (RAC)

- 3 of 8 youth **were not** assessed and assigned a Mental Health Classification consistent with procedure. (RAC)
- 8 of 9 youth **did not** have prior psychological and psychiatrist record reviews by a QMHP with 8 hours of admission. (RAC)
- 4 of 8 youth **did not** have transfer/discharge summaries within 24 hours of movement to institutions/units. (The new Automated Transfer Summary should address this)
- 2 of 6 youth **did not** receive the prescribed level of service. (When the QMHP is on vacation, an alternate plan is not implemented)
- 4 of 5 youth **did not** have integrated treatment goals in the CCP from the Psychiatrist.
- The Institutional Psychiatrist **did not** attend Clinical Meetings.

Individualized Behavior Plans

Policy 4060 and Procedure 4060.01

- It is difficult to locate IBPs in the unit.
- One YPS was unaware if any of her youth were currently on IBPs.
- YPS stated she was aware that IBPs were sent to Central Office for approval, but **was not** being informed when that approval was granted.

Physical Plant Inspection Non-Living Areas

Policy/Procedure Reference(s) Safety and Loss Prevention 2410.02, 2410.03,
Procedures 2550, 2550.1A, 2650

Kitchen

- Kitchen floor is damaged / uneven at the north end of the food preparation station causing a potential trip hazard.
- Hood vents dusty in kitchen.
- Milk crates outside **were not** secured.
- Chest cooler in the back of the kitchen was leaking fluids on the floor.
- Milk container in the walk-in cooler was leaking.
- Steamer in the kitchen was leaking water from beneath the unit. Water was pooling on the kitchen floor.
- Opened cereal in food storage area **was not** properly labeled.
- One youth was observed handling bread without gloves. This was corrected on the spot.

Toilet and Hand Washing Facilities

- The restrooms in the maintenance area, school building, and behind the chapel were unsanitary.
- The student restroom at the school had feces on the wall.

Education

- Communication panels were hanging from wires off the wall over a sink.

- Utility closets in were dirty and cluttered.
- Gymnasium floor is slippery. Creates a potential safety hazard.

Warehouse

- Water line above front door to warehouse is leaking onto gas line beneath it.
- Air vents on east wall are damaged. Need to be repaired or replaced.

Mail and Phones

Procedures: 4051, 4051.01, 4051.02, 4051.02A and 4081.

- Catalina Mountain School showed **Substantial Compliance** in this category

CAPFA and CCP Review

- Education is not involved in development of the Continuous Case Plan.